



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of

James E. Novak, et al

Process For The Preparation Of  
Concentrated Dye-Water Compositions

Serial No. 10/058,395

Filed 28 January 2002

Group Art Unit: 1752

Examiner: Geraldine Letscher

I hereby certify that this correspondence is being  
deposited today with the United States Postal Service  
as first class mail in an envelope addressed to  
Commissioner For Patents, P.O. Box 1450, Alexandria  
VA 22313-1450.

Valerie J. Richardson  
Date

RECEIVED  
JAN 28 2004  
TC 1700  
JAN 30 2004  
TC 1700  
Valerie J. Richardson  
January 20, 2004

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA. 22313-1450

Sir:

**INFORMATION DISCLOSURE STATEMENT FOR CONSIDERATION**  
**BY THE OFFICE UNDER 37 C.F.R. 1.97-1.99**

Enclosed herewith are patents and/or publications for consideration by the Patent and Trademark Office in regard to the invention claimed in the above-described application. In compliance with §1.56, such documents are listed in the enclosed Form PTO-1449.

Applicants request that the Patent and Trademark Office make of record the above-identified documents. Unless otherwise indicated, a full text copy of each document is attached. For documents not in English, an English translation or an equivalent English language patent or publication may be attached. Where a translation is not available, a concise explanation of the relevance of each document not in English is included either here or in the specification.

This Information Disclosure Statement (hereinafter "Statement") is submitted according to the following selected paragraph:

- I. ☐ This Statement is being filed under §1.97(b) within three months of the filing date of the application (other than a CPA), or before the mailing of a first Office action on the merits or before the mailing of a first Office action after the filing of a request for continued examination.
- II. ☒ This Statement is being filed under §1.97(c), with fee, **prior** to the mailing date of any of a final action, a notice of allowance or an action that otherwise closes prosecution in the application. Please charge the fee required by §1.17(p) to Eastman Kodak Company Deposit Order Account Number 05-0225. A duplicate copy of this Certification is enclosed.

III. ☐ This Statement is being filed under §1.97(c), with a certification under, §1.97(e) **prior** to the mailing date of any of a final action, a notice of allowance or an action that otherwise closes prosecution in the application. The undersigned hereby states that (check one):

☐ each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement.

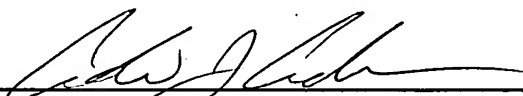
☐ no item of information in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this certification under §1.97(e) after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this Statement.

IV. ☐ This Statement is being filed under §1.97(d), with fee and certification under §1.97(e), on or after the mailing date of either a final action, a notice of allowance (but prior to payment of the issue fee) or an action that otherwise closes prosecution in the application. Please charge the fee required by §1.17(p) to Eastman Kodak Company Deposit Order Account No. 05-0225. A duplicate copy of this Certification is enclosed. The undersigned hereby states that (check one):

☐ each item of information in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement.

☐ no item of information in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this certification under §1.97(e) after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this Statement.

Respectfully submitted,

  
\_\_\_\_\_  
Attorney for Applicants  
Registration No. 33,564

Andrew J. Anderson/vjr  
Telephone: (585) 722-9662  
Facsimile: (585) 477-1148  
Enclosures

<p><b>FORM PTO-1449</b>      <b>US DEPARTMENT OF COMMERCE</b>  <b>PATENT AND TRADEMARK OFFICE</b></p> <p><b>IF AFTER the latest date of the first Office Action or 3 months from filing, use only with Rule 97(E) Certificate or Fee</b></p> <p style="text-align: center;"><b>LIST OF ART CITED BY APPLICANT</b>  <i>(Use several sheets if necessary)</i></p>		<p>Atty. Docket No.  <b>82177AJA</b></p> <p>Customer No. 01333</p> <p>Applicant:  <b>James E. Novak, et al</b></p> <p>Filing Date  <b>28 January 2002</b></p>		<p>Serial No.  <b>10/058,395</b></p> <p style="text-align: center; font-size: 2em; transform: rotate(-15deg);">RECEIVED JAN 28 2004 TC 1700 RECEIVED</p>		
U.S. PATENT DOCUMENTS						
Examiner Initial*	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	BILINGUAL TRANSLATION IF APPROPRIATE
	4,284,709	08-18-1981	Tomka			
	4,555,481	11-26-1985	Ukai et al			
	5,330,887	07-19-1994	Hasebe et al			
	5,374,512	12-20-1994	Heki et al			
	5,436,122	07-25-1995	Shigetomi			
	5,541,047	07-30-1996	Kashiwagi et al			
	5,587,282	12-24-1996	Nakatsugawa et al			
	5,591,570	01-07-1997	Takiguchi et al			
	5,657,931	08-19-1997	Nair et al			
	5,726,000	03-10-1998	Nakanishi et al			
	5,965,345	10-12-1999	Link et al			

FOREIGN PATENT DOCUMENTS							
Examiner Initial*	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
	0 640 225	10-14-1992	Europe			YES	NO
	0 694 590	01-31-1996	Europe				X
	0 985 970	03-15-2000	Europe				X
	1 570 362	07-02-1980	Great Britian				X
	5-297496	11-12-1993	Japan			X	

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)	
	A. H. Herz; "Dye-Dye Interactions Of Cyanines In Solution And At AgBr Surfaces"; Photographic Science And Engineering, Society Of Photographic Scientists And Engineers; Washington; US; vol. 18; no. 3; May 1974 (1974-05); pages 323-335
	Alexander K. Chibisov et al; "Effects Of Surfactants On The Aggregation Behaviour Of Thiocarbocyanine Dyes"; Chemical Physics, 15 Nov. 1999; Elsevier, Netherlands; vol. 250; no. 1; pages 47-60

EXAMINER	DATE CONSIDERED
<p>*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609: Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p>	